

Part 1 - Records Common to Most Department Offices

ED/RDS
ITEM
NO.

DESCRIPTION OF RECORDS

DISPOSAL
AUTHORITY

1. Departmental Policies and Directives.

A master set of all organizational manuals, issuances, and directives.

Disposition: **PERMANENT**. Records dating from 1980-1995: transfer to the National Archives upon approval of this schedule (1 cu. ft.). Records dating from 1996 to present: cutoff when obsolete. Transfer to the National Archives 2 years after cutoff. Records are filed by title and designated agency code.

NARA Job No.
NI-441-97-2
Item 1

2. Office Administrative Files.

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget reports; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels), and other materials that do not serve as official documentation of the programs of the office.

Disposition: Destroy when 2 years old or when no longer needed, whichever is sooner. Start new file yearly.

GRS 23, item 1

[NOTE: The above schedule (item 2) is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization staffing; and procedures of the office, which must be scheduled prior to disposition by submitting an SF 115 to NARA.]

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3. **Suspense Files.**

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take action.

Disposition: Destroy after action is taken.

GRS 23, item 6a

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Disposition: Withdraw documents when reply is received.

GRS 23, item 6b

(1) If suspense copy is an extra copy, destroy immediately.

(2) If suspense copy is the file copy, incorporate it into the official files.

4. **Requests for Information or Publications.**

Requests for information and replies involving no administrative action, no policy decisions, and no special complications and other printed material.

(Excluding FOIA requests.)

Disposition: Destroy when 3 months old, or when no longer needed, whichever is sooner.

GRS 23, item 7a

5. **Letters of Transmittal.**

Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material and receiving office copy if filed separately from transmittal material.

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Disposition: Destroy when 3 months old, or when no longer needed, whichever is sooner.

GRS 23, item 7b

6. **Quasi-official Notes.**

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, or charitable and welfare fund appeals, bond campaigns, or deal with activities of associations or unions concerned with Government employees.

Disposition: Destroy when 3 months old, or when no longer needed, whichever is sooner.

GRS 23, item 7c

7. **Mailing Lists.**

- a. Correspondence, request forms, and other records relating to changes in mailing lists.

Disposition: Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

GRS 13, item 4a

- b. Card lists.

Disposition: Destroy individual cards when canceled or revised.

GRS 13, item 4b

8. **Supervisors' Personnel Files and Duplicate OPF Documentation.**

- a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and reports on individual employees duplicated in or not appropriate for the OPF.

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Disposition: Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

GRS 1, item 18a

b. Duplication Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Disposition: Destroy when 6 months old.

GRS 1, item 18b

9. Word Processing Files.

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic record keeping system, paper, or microform for record keeping purposes.

Disposition: Delete from the word processing system when no longer needed for updating or revision.

GRS 20, item 13

10. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages **after they have been copied to an electronic record keeping system, paper, or microform for record keeping purposes.**

Disposition: Delete from the e-mail system after copying to a record keeping system. Review the agency e-mail guidance for further instructions.

GRS 20, item 14

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11. Tracking and Control Records.

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

GRS 23, item 8

Disposition: Destroy or delete when no longer needed.

12. Schedules of Daily Activities.

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

- a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials (see note).

Disposition: Destroy or delete when 2 years old.

GRS 23, item 5a

[NOTE: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees or political appointees. Unique substantive records relating to activities of these individuals must be scheduled by submission of an SF 115 to NARA.]

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

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Disposition: Destroy or delete when no longer needed for convenience of reference.

GRS 23, item 5b

[NOTE: GRS 20, item 3, authorizes deletion of electronic records described by subitem "a" and "b" of this item.]

13. Department Publications.

All booklets, pamphlets, brochures, newsletters, magazines, and all other types of publications created by program offices within the Department other than those created in the Office of Public Affairs.

Disposition: **PERMANENT**. Cutoff at the end of the calendar year. Transfer one copy of all publications to the National Archives and Records Administration at the end of the calendar year.

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Item 1